



*Security*

**ACCOUNTABILITY AND CONTROL OF TOP SECRET INFORMATION**

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This instruction provides the policies and procedures for implementing Department of Defense Manual (DODM) 5200.01, Volume 1, *DOD Information Security Program: Overview, Classification, and Declassification*; DODM 5200.01, Volume 2, *Marking of Classified Information*; DODM 5200.01, Volume 3, *Protection of Classified Information*; DODM 5200.01, Volume 4, *Controlled Unclassified Information*, and USTRANSCOMI 31-11, *USTRANSCOM Security Program*. It is applicable to United States Transportation Command (USTRANSCOM) and Joint Enabling Capabilities Command (JECC) personnel (military, government civilians, and contractors). This instruction sets forth policies regarding control and accountability of top secret information. Failure to observe mandatory provisions of this entire instruction by military personnel is a violation of Article 92, Uniform Code of Military Justice. Violation by civilian employees may result in administrative disciplinary action without regard to otherwise applicable criminal or civil sanctions for violations of related laws. Refer recommended changes and questions about this instruction to the office of primary responsibility using Air Force Form 847, *Recommendation for Change of Publication*. Ensure that all records created as a result of processes prescribed in this instruction are maintained in accordance with USTRANSCOM Instruction 33-32, *USTRANSCOM Records Management Program*.

**SUMMARY OF REVISIONS**

This revision reflects updates to DODM 5200.01, Volumes 1-4. It establishes guidelines of Top Secret (TS) accountability and procedures along with Top Secret Control Officer (TSCO) responsibilities. It prescribes USTRANSCOM Form 1, *Top Secret Printer Log*, USTRANSCOM Form 2, *Top Secret Control Register*, and USTRANSCOM Form 3, *Top Secret Media Log*.

**1. References, Abbreviations, Acronyms, and Terms.** References, abbreviations, acronyms, and terms used in this instruction are listed in Attachment 1.

**2. Command Top Secret Control Officer (CTSCO).** The CTSCO is responsible for managing and accounting for TS materials throughout the Command. The CTSCO must have a favorable adjudicated single scope background investigation (SSBI) within the past 5 years and have current access to TS material.

**3. TSCO(s)** will be responsible for accounting/tracking of TS documents throughout their directorate and/or division. A TSCO must have a favorable adjudicated SSBI within the past 5 years and have current access to TS material.

**3.1.** The CTSCO will be appointed in writing July of each year by the USTRANSCOM Chief of Staff. The signed appointment letter of the CTSCO will be forwarded to the Activity Security Manager, Antiterrorism and Security Branch (TCJ3-FP). All TSCO(s) must be appointed in writing in July of each year by the appropriate Director or Deputy Director with authority unless manning changes require updates. The TSCO appointment letters will be forward to the CTSCO, TCJ3-SO. Each appointment letter will include name/rank, DOD EDI PN Number, security clearance, and duty phone. TSCO appointment letter template is provided at Attachment 5.

**3.1.1.** For the JECC and its local subordinate units (Joint Planning Support Element (JPSE) and Joint Public Affairs Support Element (JPASE)), TSCO appointment(s) will be made by the JECC Commander with appointment letters submitted to the JECC TSCO for further transmittal to TCJ3-SO.

**3.2.** There will be a TSCO and alternate TSCO appointed for each area requiring TS control.

**3.3.** All TSCOs will be given initial and annual training specific to the duties herein by the CTSCO. Additionally, annual security training, to include a small section on TSCOs will be given to all USTRANSCOM personnel by the Activity Security Manager, TCJ3-FP.

**4. Accountability** – Each TSCO will be responsible for maintaining accountability for all TS within their respective directorates/divisions using printer logs and utilizing control registers. When using printer logs, working papers are also tracked (see section 4.2.).

**4.1.** Top Secret documents or materials within USTRANSCOM, excluding Sensitive Compartmental Information, SAP, and other special types of TS as referenced in the DODM 5200.01-V1, will be tracked by a TSCO as set forth under this instruction for accountability.

**4.1.1.** Documents or materials containing multiple caveats will be tracked by the TSCO if any single caveat requires accountability as set forth under this instruction.

**4.1.2.** North Atlantic Treaty Organization TS documents or materials are not authorized within USTRANSCOM as per USTRANSCOMI 16-1, paragraph 2.4.

**4.2 USTRANSCOM Form 1, *Top Secret Printer Logs*.** A USTRANSCOM Form 1 (see Attachment 2) will be located and utilized on all printers that produce TS documents.

**4.2.1.** All TS documents printed will be placed on a USTRANSCOM Form 1 as outlined below.

**4.2.1.1.** Column 1 - Date printed (self explanatory).

**4.2.1.2.** Column 2 - Title – only use unclassified title. To make an unclassified title, simply take the first letter from each word in the title; for example if the classified title is “(S) The Brown Fox”, the short title would be “(U) T.B.F.”.

**4.2.1.3.** Column 3 - Number of pages.

**4.2.1.4.** Column 4 – Printed by requires a legible printed name of the person who printed the document and office symbol of said person.

**4.2.1.5.** Column 5 – Location – where document may be physically sighted (building, room number, and safe number -if needed for more clarification).

**4.2.1.6.** Column 6 – Tracking Number – this number will be pre-placed on the log by the TSCO on a monthly basis. When a log entry is made, the pre-placed number will be transcribed to the front page of the document and cover sheet (if used) to easily identify when located in safe.

**4.2.1.7.** Column 7 – Section completed by TSCO – Annotate Destroyed or Transferred. If destroyed, date and initials of both the TSCO and person doing the destroying are required. If document is being transferred to USTRANSCOM Form 2, date and initials of the TSCO are required along with the tracking number being used on USTRANSCOM Form 2.

**4.2.1.7.1** If TSCO or alternate TSCO is not available to complete Column 7 and destruction must be completed (i.e., weekends or urgent destruction), ensure that 2 people are present for destruction and both individuals annotate on USTRANSCOM Form 1 in Column 7. This procedure will only be used when no other option is available.

**4.2.2.** USTRANSCOM Form 1 will be shredded after all entries on particular sheet are either downgraded, transferred to a USTRANSCOM Form 2, or destroyed.

### **4.3. Working Papers.**

**4.3.1.** In Accordance with DODM 5200.01, Volume 3, working papers are documents or materials created during the development and preparation of a finished product which are kept no longer than 30 days. These papers and materials are also not intended or expected to be disseminated.

**4.3.2.** Working papers and materials containing classified information shall be marked as outlined below:

**4.3.2.1.** Dated on the front page when created.

**4.3.2.2.** Marked on each page with the highest classification of any information contained therein.

**4.3.2.3.** Page numbered from beginning to end on each document being created.

**4.3.2.4.** Conspicuously marked “WORKING PAPER” on the cover and first page of the document or material in letters larger than existing text.

**4.3.2.5.** Annotate tracking number found on the USTRANSCOM Form 1 on the front page of the working paper.

**4.3.3.** If working papers are to be kept longer than 30 days they become a permanent document and logged on a USTRANSCOM Form 2, *Top Secret Control Register* (see Attachment 3), ensuring the new control number from the Form 2 is placed on the document. The working papers are then transferred off the USTRANSCOM Form 1.

**4.3.4.** Working papers NOT kept longer than 30 days, will be destroyed in an appropriate manner commensurate with its classification (i.e., shredding) and annotated on USTRANSCOM Form 1. No additional paperwork is needed.

#### **4.4. USTRANSCOM Form 2, *Top Secret Control Registers*.**

**4.4.1.** USTRANSCOM Form 2 must be retained for 5 years after all register page entries have been made inactive. Access records and cover sheets reflecting persons who have access to a particular TS document or to whom the information has been disclosed are held for 2 years after related material is destroyed, transferred, downgraded, declassified, or retired.

When the TSCO is logging TS documents being kept longer than 30 days on a USTRANSCOM Form 2 the following information is needed in each column of the register.

**4.4.1.1.** Column 1 – Control Number (see Register Control Numbers in 4.4.3. below for numbering convention). Numbers will be assigned by the TSCO and placed on each document listed on the register.

**4.4.1.2.** Column 2 – Date document was added to register

**4.4.1.3.** Column 3 - Title – only use unclassified title. To make an unclassified title, simply take the first letter from each word in the title; for example if the classified title is “(S) The Brown Fox”, the short title would be “(U) T.B.F.”.

**4.4.1.4.** Column 4 – number of pages to include cover sheet and any paperwork included with the document being tracked.

**4.4.1.5.** Column 5 - Location – where document can be physically sighted (building, room number, and safe number -if needed for more clarification).

**4.4.1.6.** Column 6 – Point of Contact - requires a legible printed name of the person responsible for the document and office symbol of said person.

**4.4.1.7.** Column 7 – Destroyed/Transferred Date – Ensure that either a legibly written “D” or “T” is placed in this box depicting the action taken on the document in addition to the date in which the action was performed.

**4.4.1.8.** Column 8 – Signatures/Printed Names – When destroying a document, two people are required to sign and print their names as the destruction officials of the material. If the document is transferred, then only one name/signature is required with a brief description of where/who the document was transferred to. See section 6 for further information.

**4.4.2.** At the end of the calendar year, the last page of the register is marked “This page is the Last Page of the Top Secret Register for Calendar Year 20\_\_.” This statement serves to close the register for the year and clearly identifies the last page of the register, thus facilitating the audit/inventory.

**4.4.3.** Register Control Numbers are used to sequentially number all TS material. The new register started on the first of each year will include the calendar year, functional office symbol, and the consecutive number of the material starting at 01 each year (e.g. 2012-J3SO-01).

**5. Reproduction.** Top Secret information may not be reproduced without the consent of the originator or higher authority. An exception to this requirement is Sensitive Compartmental Information processing and declassification review.

**6. Transfer of Accountability.** If a person-to-person transfer of a TS document occurs on Scott Air Force Base, complete the USTRANSCOM Form 2 appropriately. A transfer may not take place unless the person receiving the document has been designated in writing as a TSCO. Verify valid military/civilian identification card against the TSCO appointment memorandum before the transfer takes place.

**6.1.** If the document is transferred off Scott Air Force Base by a courier, an Air Force (AF) Form 143, *Top Secret Register Page*, must be completed. Annotate in pencil “Pending Receipt” on USTRANSCOM Form 2, with a suspense copy of the receipt placed in a suspense file. Once the receipt is returned, promptly attach the signed receipt to the back of the USTRANSCOM Form 2 and change the annotation on the USTRANSCOM Form 2. This will prevent problems at a later date.

**6.2.** If an individual requires action, review, or coordination on a document, or for any reason needs to temporarily possess a TS document, complete AF IMT 1297, *Temporary Issue Receipt*. Complete all sections of the AF IMT 1297 to reflect when the document is signed out, and destroy AF IMT 1297 when document is returned. This process allows for continued control of document.

**7. Destruction.** The TSCO and another individual possessing a TS or Interim TS clearance, verified by the appropriate security manager, must be present to destroy TS material. If a TSCO is not available and destruction must happen (i.e., emergency or weekend destruction), please follow the same rules above for the witness with regards to appropriate clearance and ensure specific USTRANSCOM Form is completed correctly.

**7.1.** If a document has been brought into accountability on USTRANSCOM Form 2 and is now being destroyed, ensure the necessary information is included on the USTRANSCOM Form 2 to include, date of destruction, printed names and signatures of the two appropriate cleared individuals destroying the material.

**8. Controlling Removable Storage Media Containing Top Secret Material.** Removable storage media containing TS information must be controlled on a separate register, USTRANSCOM Form 3, *Top Secret Media Control Log*. Each piece of media must have an affixed Standard Form 706, *Top Secret Label*.

**8.1.** USTRANSCOM Form 3 must be retained for 5 years after all register page entries have been made inactive.

When the TSCO is logging TS media on a USTRANSCOM Form 3, the following information is needed in each column of the register.

**8.1.1.** Column 1 – Control Number (see Register Control Numbers in 4.3.3. above for numbering convention). Numbers will be assigned by the TSCO and placed on each piece of media listed on the register.

**8.1.2.** Column 2 – Date media was added to register

**8.1.3.** Column 3 – Type of Media being controlled, i.e., DVD, CD, disk, external drive.

**8.1.4.** Column 4 – Storage Location – where item can be physically sighted (building, room number, and safe number -if needed for more clarification)

**8.1.5.** Column 5 – Point of Contact - requires a legible printed name of the person responsible for the media and office symbol of said person

**8.1.6.** Column 6 – Destroyed/Transferred Date – Ensure that either a legibly written “D” or “T” is placed in this box depicting the action taken on the media, the date in which the action was performed and a comment as to what method of destruction was performed, i.e., degaussing, shredding, grinding.

**8.1.7.** Column 7– Signatures/Printed Names – When destroying a piece of media, two persons are required to sign and print their names as the destroyers of the media. If media is transferred, only one name/signature is required with a brief description of where/who the document was transferred to. See section 6 for further information.

**8.2.** When preparing any transmission receipts or destruction certificates for classified automated information systems storage media, describe the storage media in a single document instead of listing individual documents stored within the media.

**9. Disclosure Records.** Print names and grades of all individuals who have received access to TS documents on AF Form 144, *Top Secret Access Record and Cover Sheet*. Each TS document will have an AF Form 144 attached and the first individual in possession of the document will complete the first line of the form. The individual in possession of the material ensures that each person having access properly annotates the AF Form 144. The individual's name will only appear once, regardless of the number of times the individual has access to the information.

**9.1.** The AF Form 144 is only removed from a TS document when the material is destroyed, downgraded, or declassified. The TSCO maintains AF Form 144 for 2 years after destruction, downgrading, or declassification.

**10. Audits.** An annual audit will be conducted by the CTSCO. The audit is a 2-step process that involves the inventory (physical sighting of all Top Secret information on hand), and the review of all active and inactive pages which are examined for compliance with security procedures. Annual audits will be conducted in July each year, even if there has been a change of TSCO during the year.

**10.1.** An additional inventory (self audit) will be conducted annually in January by the individual TSCO or when change of TSCO occurs, whichever comes first. The frequency between any type of inventory will not exceed 12 months.

**10.2. Sighting Active Documents.** This consists of physically locating each document and piece of media the TSCO has active register page entries. Additionally, the inventory ensures all TS documents have been entered in the register. This requirement will be met by physically removing every TS document or piece of media from the safe and matching the item against the register page entries. Documents/media which are out for review or coordination are personally located and physically sighted in each case. While sighting documents, compare the Register Control Number, copy number, title, and date of document to verify correct and accurate completion of the TS Control Register. The registered control number must also be listed on the affected document.

**10.3.** The audit official looks at all pages of the register (active and inactive registers of the past 5 years). A page-by-page account of the register is done. A full trace will be made of those documents not physically sighted allowing the auditor to see AF Forms 143 stating transfer or destruction corresponding to the USTRANSCOM Form 2.

**11. Audit Reports.** The audit official prepares and submits an audit report to the appointed TSCO and their respective Director.

**11.1.** The report contains the names and signatures of audit officials and is of sufficient scope to explain compliance with all TS control procedures. The report lists any material reflected in the register that could not be accounted for, material possessed but not currently in the register, and any irregularity that could have resulted in a compromise. For unaccounted material, the Activity Security Manager, TCJ3-FP, will be notified via the written report.

**11.2.** The respective Director endorses the report and sends to the CTSCO (TCJ3-SO) to specify corrective action including initiating security inquiries when warranted. The Director will certify that TS material held in their unit or agency is needed for mission accomplishment. A copy of the signed report is filed with the audited TSCO for reference purposes during the next inventory and has a retention period of 1 year.

**12. Prescribed Forms:**

USTRANSCOM Form 1, *Top Secret Printer Log*

USTRANSCOM Form 2, *Top Secret Control Register*

USTRANSCOM Form 3, *Top Secret Media Log*

**13. Adopted Forms:**

Standard Form 706, *Top Secret Label*

AF Form 143, *Top Secret Register Page*

AF Form 144, *Top Secret Access Record and Cover Sheet*

AF IMT 1297, *Temporary Issue Receipt*

SAMUEL D. COX  
Major General, USAF  
Director of Operations and Plans

**5 Attachments:**

1. Glossary of References, Abbreviations, Acronyms, and Terms
2. Sample USTRANSCOM Form 1, *Top Secret Printer Log*
3. Sample USTRANSCOM Form 2, *Top Secret Control Register*
4. Sample USTRANSCOM Form 3, *Top secret Media Log*
5. Sample Appointment Letter Template



## **Attachment 1**

### **GLOSSARY OF REFERENCES, ABBREVIATIONS, ACRONYMS, AND TERMS**

#### **Section A – References**

Department of Defense Manual (DODM) 5200.01, Volume 1, *DOD Information Security Program: Overview, Classification, and Declassification*  
DODM 5200.01, Volume 2, *Marking of Classified Information*  
DODM 5200.01, Volume 3, *Protection of Classified Information*  
DODM 5200.01, Volume 4, *Controlled Unclassified Information*  
USTRANSCOMI 31-11, *Security Program*

#### **Section B - Abbreviations and Acronyms**

AF – Air Force  
CTSCO – Command Top Secret Control Officer  
DODM – Department of Defense Manual  
TSCO – Top Secret Control Officer  
TS – Top Secret  
USTRANSCOM – United States Transportation Command

#### **Section C – Terms**

NOT USED

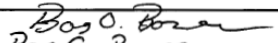
**Sample USTRANSCOM Form 1, *Top Secret Printer Log***

[illegible]

Attachment 3

Sample USTRANSCOM Form 2, *Top Secret Control Register*

UNCLASSIFIED

TOP SECRET CONTROL REGISTER							
1	2	3	4	5	6	7	8
Control Number	Date	Title (brief unclassified description)	# of Pages	Location of document	Point of Contact	Destroyed/ Transferred Date	Signature/Printed names of persons who destroyed document
2012- J350- 01	10 Aug 12	T. B. F. (U)	15	1900W rm 1234	Bag. G. Bones TCJ3-F	D 19 Aug 12	 Bag G. Bones Tracy Trucker

## Attachment 4

Sample USTRANSCOM Form 3, *Top Secret Media Log*

UNCLASSIFIED

TOP SECRET MEDIA LOG						
1	2	3	4	5	6	7
Control Number	Date	Type of Media	Storage Location	Point of Contact	Destroyed/ Transferred Date	Signature/Printed names of persons who destroyed media
2012-SO-M-01	10 Aug 12	i.e., DVD, CD, Zip, Disk, External Drive	1900 W rm 1234	Bag G. Bones TCJ3-F	D- 19 Aug 12	Bag O Bones Bag G. Bones Tracy Tucker Tracy Trucker

USTRANSCOM FORM 3, 10 AUGUST 2012

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Prescribed by USTRANSCOMI 31-6

**Attachment 5**

MEMORANDUM FOR CTSCO - TCJ3-SO

FROM: *Your directorate*

SUBJECT: Top Secret Control Officer Appointment

1. The following individuals are appointed primary and alternate TSCOs for TCJ3, effective *date of appointment*:

Primary: *Name, Rank, DOD EDI PN Number,  
Security Clearance, Duty Phone*

Alternate: *Name, Rank, DOD EDI PN Number,  
Security Clearance, Duty Phone*

2. If you have any questions, please contact *POC name, contact number*.

***DIRECTOR/DEPUTY DIRECTOR***  
*Rank, Branch of service (if applicable)*  
*(Deputy) Director of which directorate*

cc:  
Individuals